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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/998,893	11/30/2001	Richard P. Sinn	21756-012800	4150

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EXAMINER

TESLOVICH, TAMARA

ART UNIT PAPER NUMBER

2137

DATE MAILED: 07/17/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/998,893

Applicant(s)

SINN ET AL.

Examiner

Tamara Teslovich

Art Unit

2137

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 28 April 2006.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1,3-16,18-27 and 29-52 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1,3-16,18-27 and 29-52 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 04.28.06
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on April 28, 2006 has been entered.

### ***Response to Arguments***

Applicant's arguments filed April 28, 2006 have been fully considered but they are not persuasive.

The Applicant's arguments concern Patel's failure to disclose retrieving a workflow for corresponding to a request from a set of workflows, wherein the workflow corresponds to a set of characteristics for the user, wherein the set of user characteristics includes a user type, and wherein the different workflows correspond to different sets of characteristics for the users. The Examiner respectfully disagrees with the Applicant's contentions and would refer back to previous office actions explaining how Patel does in fact teach the abovementioned limitations.

Applicant's arguments fail to comply with 37 CFR 1.111(b) because they amount to a general allegation that the claims define a patentable invention without specifically

pointing out how the language of the claims patentably distinguishes them from the references or how the Examiner's rejections are incorrect.

In view of the arguments previous, Examiner respectfully disagrees with the Applicant's argument that Patel fails to disclose retrieving a workflow for corresponding to a request from a set of workflows, wherein the workflow corresponds to a set of characteristics for the user, wherein the set of user characteristics includes a user type, and wherein the different workflows correspond to different sets of characteristics for the users. As a result, the Examiner maintains the 35 U.S.C. 102(e) rejections as provided below and amended as per the Applicant's amendments.

***Claim Rejections - 35 USC § 102***

The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

**Claims 1, 3-16, 18-27, and 29-52 remain rejected under 35 U.S.C. 102(e) as being anticipated by Patel et al., U.S. Patent No. 6,438,690 B1.**

As per **claim 1**, Patel discloses a method comprising the steps of:

(a) receiving a request for a certificate related action for a user; and (b) retrieving a workflow (policy) for responding to said request from a set of workflows (policies), wherein said set of workflows includes a plurality of workflows for responding to said certificate related action and wherein each workflow in said plurality of workflows

corresponds to a different set of characteristics for a user (col.9 lines 14-22, 30-32) and wherein said workflow for responding to said request corresponds to said certificate related action and a set of characteristics (applicant registration information) for said user (col.4 line 65 thru col.5 line 14) including a user type.

As per **claim 3**, Patel discloses the method of claim 2, wherein a first workflow in said plurality of workflows contains a first set of directives and a second workflow in said plurality of workflows contains a second set of directives, wherein said first set of directives is different from said second set of directives (col.5 lines 39-43; col.9 lines 45-47).

As per **claim 4**, Patel discloses the method of claim 3, wherein said certificate related action certificate enrollment action, wherein said first workflow in said plurality of workflows calls for obtaining an approval before issuing a certificate and wherein said second workflow in said plurality of workflows does not call for obtaining an approval before issuing a certificate (col.7 lines 17-24).

As per **claim 5**, Patel discloses the method of claim 3, wherein said certificate related action certificate renewal action, wherein said first workflow in said plurality of workflows calls for retrieving an approval before renewing a certificate and wherein said second workflow in said plurality of workflows does not call for retrieving an approval before renewing a certificate (col.7 lines 17-24 reference "enrollment"; Fig 2 reference "Renew cert" within "Enrollment").

As per **claim 6**, Patel discloses the method of claim 3, wherein said certificate related action is a certificate revocation action (col.5 lines 39-42).

As per **claim 7**, Patel discloses the method of claim 3, further including the step of: receiving said plurality of workflows (col.7 lines 51-58).

As per **claim 8**, Patel discloses the method of claim 1, wherein said method further includes the step of: (d) performing said workflow, wherein said step (d) includes the steps of: (1) retrieving an approval response; and (col.5 lines 15-20); (2) obtaining a certificate (col.5 lines 21-25).

As per **claim 9**, Patel discloses the method of claim 8, further including the steps of: (e) receiving a second request for a second certificate related action for a second user (col.6 lines 9-11; col.8 lines 51-53); (f) retrieving a second workflow for responding to said second request from said set of workflows, wherein said second workflow corresponds to said second certificate related action and a set of characteristics for said second user (col.7 lines 9-15); and (g) performing said second workflow, wherein said step (g) includes the step of: obtaining a second certificate without retrieving an approval response (col.7 lines 20-24) (col.9 lines 14-16; col.14 lines 42-44).

As per **claim 10**, Patel disclose the method of claim 9, wherein said certificate related action is a certificate enrollment action and said second certificate related action is a certificate enrollment action (col.9 lines 14-22).

As per **claim 11**, Patel discloses the method of claim 9, wherein said certificate related action is a certificate renewal action and said second certificate related action is a certificate renewal action (col.9 lines 14-22).

As per **claim 12**, Patel discloses the method of claim 1, further including the step of: (h) performing said workflow, wherein said certificate related action is a certificate

enrollment action (col.4 lines 58-64) and wherein said step (h) includes the step of: (1) obtaining a certificate, wherein said step (h)(1) includes the steps of: (i) authenticating said user (col.5 lines 5-18); (ii) forwarding said request to a (Certificate Authority) Certificate Processing Server (col.5 lines 15-20); (iii) receiving said certificate; and storing said certificate (col.5 lines 21-25).

As per **claim 13**, Patel discloses the method of claim 1, further including the step of: (j) performing said workflow, wherein said certificate related action is a certificate renewal action (col.8 lines 8-17) and wherein said step (j) includes the step of: (1) obtaining a certificate renewal, wherein said step (j)(1) includes the steps of: (i) authenticating said user (col.5 lines 5-18); (ii) forwarding said request to a Certificate Processing Server (col.5 lines 15-20); and (iii) receiving a certificate renewal acknowledgement (col.5 lines 21-25).

As per **claim 14**, Patel discloses the method of claim 1, further including the step of: (k) performing said workflow, wherein said certificate related action is a certificate revocation action (col.8 lines 8-17) and wherein said step (k) includes the step of: revoking a certificate, wherein said step (k)(1) includes the steps of: (i) authenticating said user (col.5 lines 5-18); and (ii) forwarding said request to a Certificate Processing Server (col.5 lines 15-20).

As per **claim 15**, Patel discloses the method of claim 1, wherein said steps (a) and (b) are performed by an Identity System (Certification Authority) in communication with an Access System (Registration Authority and Vault) (Abstract; Figure 1)

**Claims 16, 18 and 19** are directed towards a system's implementation of the method of claims 1, 3 and 4 and are rejected by similar rationale.

**Claim 20** is directed towards a system's implementation of the method of claim 7 and is rejected by similar rationale.

**Claims 21 and 22** are directed towards a system's implementation of the method of claims 9 and 10 and are rejected by similar rationale.

**Claims 23-26** are directed towards a system's implementation of the method of claims 12-15 and are rejected by similar rationale.

**Claims 27, 29 and 30** are directed towards an apparatus' implementation of the method of claims 1, 3, and 4 and are rejected by similar rationale.

**Claim 31** is directed towards an apparatus' implementation of the method of claim 7 and is rejected by similar rationale.

**Claims 32 and 33** are directed towards an apparatus' implementation of the method of claims 9 and 10 and are rejected by similar rationale.

**Claims 34-37** are directed towards an apparatus' implementation of the method of claims 12-15 and are rejected by similar rationale.

**Claim 38** is directed towards the method of claim 2 and is rejected by similar rationale.

**Claims 39, 40, and 42** are directed towards the method of claims 7, 9, and 15 and are rejected by similar rationale.

**Claim 41** is directed towards a broader form of the method of claims 10 and 11 and is rejected by similar rationale.



**Claim 43** is directed towards a system's implementation of the method of claim 2 and is rejected by similar rationale.

**Claims 44, 45, and 47** are directed towards a system's implementation of the method of claims 7, 9, and 15 and are rejected by similar rationale.

**Claim 46** is directed towards a broader form of a system's implementation of the method of claims 10 and 11 and is rejected by similar rationale.

**Claim 48** is directed towards an apparatus's implementation of the method of claim 2 and is rejected by similar rationale.

**Claims 49, 50, and 52** are directed towards an apparatus' implementation of the method of claims 7, 9, and 15 and are rejected by similar rationale.

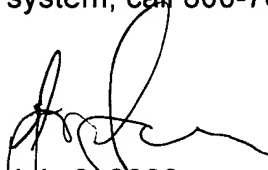
**Claim 51** is directed towards a broader form of an apparatus' implementation of the method of claims 10 and 11 and is rejected by similar rationale.

### ***Conclusion***

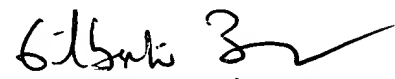
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tamara Teslovich whose telephone number is (571) 272-4241. The examiner can normally be reached on Mon-Fri 8-4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Emmanuel Moise can be reached on (571) 272-3865. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.



July 9, 2006  
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